

## AMS/FAST CHANGE REQUEST (CR) COVERSHEET

**Change Request Number:** 23-77

**Date Received:** May 9, 2023

**Title:** Acquisition Management Policy Appendix B

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**Policy and Guidance:** (Please check only one box)

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|---|--|
| <input checked="" type="checkbox"/> Policy      | <input type="checkbox"/> Procurement Tools and Resources     |
| <input type="checkbox"/> Guidance               | <input type="checkbox"/> Real Property Templates and Samples |
| <input type="checkbox"/> Procurement Samples    | <input type="checkbox"/> Procurement Clauses                 |
| <input type="checkbox"/> Procurement Templates  | <input type="checkbox"/> Real Property Clauses               |
| <input type="checkbox"/> Procurement Forms      | <input type="checkbox"/> Other Tools and Resources           |
| <input type="checkbox"/> Procurement Checklists |  |

**Summary of Change:**

Removed description of Acquisition Program Baseline (APB) and Execution Plan (EP).  
Updated purpose and approval section of the APB. Updated EP purpose, approval distribution and content section.

**Reason for Change:** Alignment with Baseline Management SOP.

**Development, Review, and Concurrence:** ABP-310/ASAG Members

**Target Audience:** Acquisition Program Offices and Investment Analysis Stakeholders

**Briefing Planned:** Yes. April 18.

**ASAG Responsibilities:** Review and comment. ASAG approved on April 18.

**Section / Text Location:**

AMS Policy: Appendix B Acquisition Planning and Control Documents.

**The redline version must be a comparison with the current published FAST version.**

☒ I confirm I used the latest published version to create this change / redline

**or**

☐ This is new content

**Links:**

<https://fast.faa.gov/docs/acquisitionManagementPolicy/AcquisitionManagementPolicyAppendixB.pdf#nameddest=policyappenB>

**Attachments:** Redline and final documents.

**Other Files:** N/A.

**Redline(s):**

**Section Revised: Appendix B – Acquisition Planning and Control Documents**

**Acquisition Management Policy - (~~4/2023~~7/2023)**

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[Appendix B: Acquisition Planning and Control Documents](#) Revised 1/2023

Acquisition Program Baseline Revised ~~4/2021~~7/2023

Execution Plan Revised 7/2023

Program Requirements Document Revised 1/2023

Business Case Revised 10/2012

Implementation Strategy and Planning Document Revised 1/2023

Program Management Plan Added 1/2015

Test and Evaluation Master Plan Added 1/2023

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## Appendix B: Acquisition Planning and Control Documents **Revised 1/2023**

AMS Policy Section 1.2.5, as well as the ACAT table, provide guidance and direction for the use of acquisition categories in the FAA acquisition process. These categories ensure the appropriate level of oversight and documentation requirements are applied to each FAA investment program.

This appendix contains the purpose, approval authority, distribution, and content for AMS planning and control documents. This list contains only AMS planning and control documents. For a complete list of required artifacts for each ACAT and AMS phase/decision point, refer to the JRC checklist.

The documents are:

- ☐ Acquisition program baseline or execution plan
- ☐ Program requirements document
- ☐ Business case
- ☐ Implementation strategy and planning document
- ☐ Program Management Plan
- ☐ Test and evaluation master plan

These documents are structured as an integrated set with clear progression and traceability from service need to requirements to implementation strategy to actions and work activities. Template instructions are comprehensive in scope to accommodate complex investment programs. They are tailored to be appropriate for each specific investment program.

### Acquisition Program Baseline **Revised 4/2021-7/2023**

#### PURPOSE

The Acquisition Program Baseline (APB) ~~documents~~establishes the cost, schedule, and performance ~~baselines for parameters within which the investment program is authorized.~~ It is ~~the mutual agreement~~a formal document approved by the JRC at the Final Investment Decision (FID) and is the implementation contract between the ~~investment decision authority, the performing organization, and the user organization concerning the performance~~FAA and ~~capability~~the service organization acquiring an approved product or service. ~~It is the program will provide and the cost and schedule authorized for the program.~~ There are two APB templates. The first is for New Investment ACATs. The second APB template is to ~~bethat is~~ used for Tech Refresh Portfolio Project Level 1 and Sustainment Level 1 initiatives.

#### DESCRIPTION

~~The~~FAA acquisition ~~program~~ ~~baseline is established at the final investment decision concurrent with approval of an investment program for implementation.~~ The cost and schedule baselines are developed ~~during final investment analysis by the service organization (working within the investment analysis team) that will implement and manage the program throughout its lifecycle.~~variance measurement, internal variance reporting, US Code §40121 compliance reporting and annual Congressional reporting.

~~The acquisition program baseline contains critical cost, schedule, and performance parameters and their associated values designated for control by the investment decision authority. They relate to corporate FAA's commitment to satisfying the mission need, achieving needed operational capability, and meeting schedule requirements of interdependent programs. Investment decision authority controls are identified during final investment analysis by the investment analysis team and approved by the investment decision authority. They define the empowerment boundaries of the service team during solution implementation.~~

## **APPROVAL**

The chair of the investment decision authority approves the acquisition program baseline with the concurrence of other IDA members. ~~Designated ACAT reviewers also sign the document.~~

~~NOTE: No funding may be committed or obligated that would exceed the cost baseline in the acquisition program baseline~~

## **DISTRIBUTION**

Send an electronic copy of the acquisition program baseline and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all acquisition program baselines.

## **CONTENT**

The acquisition program baseline consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the APB template.

## **Execution Plan Revised 7/2023**

### **PURPOSE**

~~The execution plan documents~~ Execution Plan (EP) establishes the cost, schedule, and performance parameters for investment programs that do not require within which the program is authorized. It is a formal document approved by the JRC at the Investment Decision and is the implementation contract between the FAA and the service organization acquiring an approved product or service. EPs are used for FAA acquisition program baseline. The execution plan contains a description of program and the cost, schedule, and performance parameters that will be reported variance measurement and tracked monthly.

### **DESCRIPTION**

~~There are four execution plan templates. The execution plan templates used internal variance reporting (when applicable). Execution plans are based on the initiative's assigned ACAT. Variable Quantity programs use the Variable Quantity template. The Facility ACAT has two templates—one for the overall Facility program and the second used for Facility Level 1 sub—projects. The fourth execution plan is for Tech Refresh Portfolio 1 not subject to US Code §40121 reporting requirements.~~

### **APPROVAL**

~~Approval is defined in the execution plan templates.~~

The chair of the investment decision authority approves the Execution Plan with the concurrence of

other IDA members.

## **DISTRIBUTION**

Send an electronic copy of the execution plan and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all Execution plans.

## **CONTENT**

The execution plan consists of a cost baseline, schedule baseline, and performance baseline. Content is defined in the execution plan templates.

## **Program Requirements Document Revised 1/2023**

### **PURPOSE**

The program requirements document establishes the operational framework and performance baseline for an investment program. It is the basis for evaluating the readiness of products and services of an investment program to become operational.

### **APPROVAL**

Within the ATO, the Vice Presidents of the organization executing the investment program during solution implementation and the operating organization approve the program requirements document. Within the other lines of business, the second-level executive of the organization executing the program in solution implementation approves the program requirements document.

### **DISTRIBUTION**

Send an electronic copy of the program requirements document and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all program requirements documents.

### **CONTENT**

At the readiness for investment analysis decision, the program requirements document defines preliminary functional and performance requirements any potential solution to mission need must satisfy. At the final investment decision, the program requirements document defines exactly the operational concept and requirements the investment program must achieve as well as a test approach to assess system readiness and suitability.

The author must use the program requirements document template in FAST and must provide information for all sections. For sections that do not apply, the author so indicates.

## **Business Case Revised 10/2012**

### **PURPOSE**

The business case summarizes cost, schedule, and benefit information for each alternative solution

to mission need for use by the investment decision authority when making initial and final investment decisions.

## **APPROVAL**

The Vice President (ATO) or Director (non-ATO) of the implementing service organization approves the business case. Designated ACAT reviewers review and sign the business case.

## **DISTRIBUTION**

Send an electronic copy of the business case and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all business cases.

## **CONTENT**

The business case synthesizes the results of investment analysis. At the initial investment decision, it describes alternatives, assumptions, and constraints, and provides full lifecycle cost estimates, benefit estimates, schedule analysis, risk analysis, and economic analysis for each alternative. At the final investment decision, it updates this information and records full lifecycle information for the alternative selected for implementation.

The author must use the business case template in FAST and must provide information for all sections.

## **Implementation Strategy and Planning Document Revised 1/2023**

## **PURPOSE**

The implementation strategy and planning document (ISPD) provides the investment decision authority a summary characterization of the plans for solution implementation and in-service management of the proposed investment. It conveys the most critical, relevant, and meaningful information to support decision-making. More detailed and comprehensive plans are generated as part of acquisition best-practices at appropriate event-driven milestones, some of which occur before the final investment decision and some afterward. An initial ISPD is required for the initial investment decision covering specific sections identified in the ISPD template. A complete ISPD is required for a final investment decision. After the final investment decision, the ISPD is modified only if the program returns to the investment decision authority for a change to the investment decision and information needs to be modified.

## **APPROVAL**

The ISPD is submitted for approval by the first level executive of the organization that will execute the program in solution implementation. Within ATO, the ISPD is approved by the Vice President of the organization that will execute the program and by the Chief Operating Officer/Deputy Chief Operating Officer. Outside ATO, the ISPD is approved by the second-level executive of the organization that will execute the program. Certain sections of the ISPD are reviewed and approved by specific executives, as follows:

Section 2: Director, Acquisition and Contracting; and Director, Financial Analysis;

Sections 5, 6 and 10: ATO Vice President for Technical Operations, (NAS and Mission Support programs) and Director, AIT Infrastructure & Operations, (Mission Support programs);

Sections 1, 4 and 5: Director of NextGen Engineering Services (NAS programs); Director, AIT Strategy & Performance Service (Mission Support programs)

Sections 6.7, 7.1, 9.2 and 10.2: Vice President, Safety and Technical Training; Director, William J. Hughes Technical Center.

The organization executing the program in solution implementation obtains the required approvals before the investment decision with the exception of Joint Resource Council members, which are obtained at the time of the JRC decision by the JRC executive secretariat. The JRC Chairperson signs the ISPD on behalf of the JRC members concurrent with the investment decision.

## **DISTRIBUTION**

Send an electronic copy of the ISPD to the JRC executive secretariat before an initial or final investment decision. The JRC executive secretariat maintains a database of all ISPDs.

## **CONTENT**

The originating office uses the ISPD template in FAST to generate the document. For sections that do not apply to the investment program, the originating office so indicates.

## **Program Management Plan Added 1/2015**

### **PURPOSE**

The program management plan (PMP) defines how the service organization or program office will manage the implementation strategy recorded in the ISPD approved by the Joint Resources Council at the final investment decision. The intent is to ensure: (1) the full scope of program implementation is understood and planned, and (2) agreements are established with key support organizations (e.g., logistics, test, information security, safety, systems engineering) that must provide resources or otherwise contribute to successful program implementation. Do not repeat the implementation strategy recorded in the implementation strategy and planning document – explain how you will manage the execution of that strategy.

A revision to the PMP occurs in the event of a baseline change decision that affects the implementation strategy significantly or when human resource needs change substantially as the program progresses through solution implementation.

### **APPROVAL**

The program management plan is circulated for review with the implementation strategy and planning document. It is approved by the Director of the service organization assigned responsibility for implementing the investment program after concurrence by all key stakeholders through a formal review cycle. Key stakeholders are those organizations that have a vested interest in the operational

assets to be provided by the investment program, as well as those organizations that must support the implementing service organization or program office to achieve successful implementation and operational use.

## **DISTRIBUTION**

Send an electronic copy of the approved program management plan to the JRC executive secretariat before the final investment decision. Send an electronic copy of all approved revised PMPs to the JRC executive secretariat as well. The JRC executive secretariat maintains a database of all approved PMPs and revisions.

## **CONTENT**

Use the PMP template in FAST to prepare the document. Scope and detail should be commensurate with the complexity of the investment program. Be succinct and complete. Quality is preferred over length.

## **Test and Evaluation Master Plan Added 1/2023**

The Test and Evaluation Master Plan (TEMP) forms the basis for achieving a well-structured and efficient test program. It is the primary test management document for the investment program throughout its lifecycle that addresses the PRD and supports the ISPD.

## **APPROVAL**

The JRC Stakeholder for T&E approves all TEMPs. The Director of the Test Service Organization (or equivalent), the Program Manager, the T&E Division Manager, the T&E First-Line Supervisor, Program Test Director(s) approve the TEMP prior to JRC submittal.

## **DISTRIBUTION**

Send an electronic copy of the TEMP and updates to the JRC executive secretariat before a decision meeting per instructions in the JRC secretariat quick-start guide. The JRC executive secretariat maintains a database of all TEMPs.

## **CONTENT**

Prior to the initial investment decision, the TEMP is updated to a preliminary state. At the final investment decision, the TEMP is updated to the initial state and defines the test strategy, methodology, and approach for DT and OT. A final TEMP is delivered after final investment decision and prior to the start of testing. The final TEMP is a living document that may be revised as needed during solution implementation.

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